UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/188,492	11/09/1998	SEONGHO BAE	33012-250-10	4421

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EXAMINER
WASSUM, LUKE S

ART UNIT	PAPER NUMBER
2177	

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28

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)	
Office Action Summary	09/188,492	BAE, SEONGHO	
	Examiner	Art Unit	
	Luke S. Wassum	2177	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>*30 April 2004*</u>.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
   closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>*1-20*</u> is/are pending in the application.

   4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>*1-20*</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on <u>*10 October 2003*</u> is/are: a)☒ accepted or b)☐ objected to by the Examiner.

   Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

   Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   a)☐ All   b)☐ Some * c)☐ None of:

   1.☐ Certified copies of the priority documents have been received.

   2.☐ Certified copies of the priority documents have been received in Application No. _____.

   3.☐ Copies of the certified copies of the priority documents have been received in this National Stage
      application from the International Bureau (PCT Rule 17.2(a)).

   * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
   Paper No(s)/Mail Date _____.

4) ☐ Interview Summary (PTO-413)
   Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1.   A request for continued examination under 37 CFR 1.114, including the fee set forth in 37

CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for

continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely

paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114.

Applicant's submission filed on 30 April 2004 has been entered.

Response to Preliminary Amendment

2.   The Applicant's preliminary amendment, filed 30 April 2004, has been received, entered into

the record, and considered.

3.   As a result of the amendment, claims 1, 2, 6, 11 and 16 have been amended. Claims 1-20

remain pending.

The Invention

4.   The claimed invention is a data processing environment that supports the generation of

reports on a periodic basis, and the delivery of said reports electronically to a user over the Internet.

Claim Objections

5.   Claim 6 is objected to because of the following informalities:

The claim includes a typographical error; "delivers said respot" should be "delivers said

report".

Appropriate correction is required.

Claim Rejections - 35 USC § 102

6.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the

basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in
the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent
by another filed in the United States before the invention by the applicant for patent, except that an international
application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an
application filed in the United States only if the international application designated the United States and was
published under Article 21(2) of such treaty in the English language.

7.   Claims 1-4, 6-14 and 16-18 are rejected under 35 U.S.C. 102(e) as being anticipated by

Remington et al. (U.S. Patent 6,070,150).

8.   Regarding claim 1, **Remington et al.** teaches a data processing environment as claimed,

comprising:

a) a user terminal which generates a log-on service request and displays a report coupled to a

publicly accessible digital communications network (see consumer 114 and network

116 in Figure 4; see also disclosure that in one implementation, the bill arrives as an

email message or notification to check a billing mailbox, a disclosure that inherently

includes some form of user authentication, constituting the claimed user log-on

service request, col. 8, lines 17-22);

b) a database management system which generates said report (see col. 9, lines 7-58, and col.

10, lines 33-42, teaching the detailed information in the formatted bills, a teaching

which renders the existence of a database management system inherent in the system;

see also col. 7, lines 50-53);

c) a software controlled server (see biller computing unit 112 in Figure 4) responsively

coupled to said user terminal (see consumer 114 in Figure 4) via a publicly accessible

digital communications network (see network 116 in Figure 4) and responsively

coupled to said database management system (see col. 9, lines 7-58, and col. 10, lines

33-42, teaching the detailed information in the formatted bills, a teaching which

renders the existence of a database management system inherent in the system) which

receives said log-on service request and forwards it to said database management

system for honoring (see disclosure that in one implementation, the bill arrives as an

email message or notification to check a billing mailbox, a disclosure that inherently

includes some form of user authentication, constituting the claimed user log-on

service request, col. 8, lines 17-22);

d) an administration module which automatically determines when to generate said report

based upon a particular date (see discussion of the initiation of the billing process, col.

15, line 67 through col. 16, line 1; see also col. 15, lines 35-43; see also disclosure of

the prior art periodic generation of bills, col. 1, lines 28-32; see also disclosure that the

invention is meant to replace conventional billing which typically occurs on a monthly

basis, and also that bill generation occurs at the end of a billing cycle, col. 1, lines 16-

35, disclosures that inherently include the generation of the claimed reports on a

particular date, such as on the 15th of each month);

e) a software object responsively coupled to said database management system and said administration module which executes a plurality of command script statements to generate said report in response to a signal from said administration module upon reaching a particular date (see discussion of billing statement generation, col. 7, lines 50-54; see also disclosure that the invention is meant to replace conventional billing which typically occurs on a monthly basis, and also that bill generation occurs at the end of a billing cycle, col. 1, lines 16-35, disclosures that inherently include the generation of the claimed reports on a particular date, such as on the 15th of each month);

f) a storage facility wherein said server spools said report for future delivery to said user terminal (see discussion of the embodiment wherein the customer receives a notification to check a billing mailbox to retrieve electronic bills, col. 8, lines 17-22; see also discussion of the use of HTML in generating bills, col. 12, lines 24-60; see also discussion of sending the generated bills to an intermediary for future delivery to the customer, col. 16, lines 14-43, and particularly lines 35-43); and

g) a delivery facility responsively coupled to said software object which delivers said spooled report after reaching said particular date and upon receipt of said log-on service request (see disclosure that in one implementation, the bill arrives as an email message or notification to check a billing mailbox, a disclosure that inherently includes some form of user authentication, constituting the claimed user log-on service request, col. 8, lines 17-22; see also discussion of sending the generated bills to an intermediary for future delivery to the customer, col. 16, lines 14-43, and particularly lines 35-43; see also disclosure that the invention is meant to replace conventional billing which

typically occurs on a monthly basis, and also that bill generation occurs at the end of a

billing cycle, col. 1, lines 16-35, disclosures that inherently include the generation of

the claimed reports on a particular date, such as on the 15th of each month).

9.   Regarding claim 6, **Remington et al.** teaches an apparatus as claimed, comprising:

a) a user terminal which generates a log-on service request and displays a report (see

consumer 114 in Figure 4; see also disclosure that in one implementation, the bill

arrives as an email message or notification to check a billing mailbox, a disclosure that

inherently includes some form of user authentication, constituting the claimed user

log-on service request, col. 8, lines 17-22);

b) a publicly accessible digital communications network coupled to said user terminal (see

network 116 in Figure 4);

c) a software controlled server responsively coupled to said user terminal via said publicly

accessible digital communications network (see biller computing unit 112 in Figure 4);

d) a database management system which automatically generates said report by executing a

sequence of command script statements in response to a predetermined signal based

upon a particular date not initiated by said user terminal responsively coupled to said

server (see col. 9, lines 7-58, and col. 10, lines 33-42, teaching the detailed information

in the formatted bills, a teaching which renders the existence of a database

management system inherent in the system; see also discussion of billing statement

generation, col. 7, lines 50-54; see also disclosure that the invention is meant to replace

conventional billing which typically occurs on a monthly basis, and also that bill

generation occurs at the end of a billing cycle, col. 1, lines 16-35, disclosures that

inherently include the generation of the claimed reports on a particular date, such as

on the 15th of each month);

e) an administration module within said server which spools said report for later electronic

delivery to said user terminal at a future time and delivers said report via said publicly

accessible digital communications network in response to receipt of said log-on

service request (see discussion of sending the generated bills to an intermediary for

future delivery to the customer, col. 16, lines 14-43, and particularly lines 35-43; see

also disclosure that in one implementation, the bill arrives as an email message or

notification to check a billing mailbox, a disclosure that inherently includes some form

of user authentication, constituting the claimed user log-on service request, col. 8,

lines 17-22).

10.   Regarding claim 11, **Remington et al.** teaches a method of communicating between a user

terminal and a database management system as claimed, comprising:

a) automatically generating a report upon occurrence of a particular date by said database

management system through execution of a series of command script statements in

response to a sensed signal at a first predetermined time determined by an

administration module (see col. 9, lines 7-58, and col. 10, lines 33-42, teaching the

detailed information in the formatted bills, a teaching which renders the existence of a

database management system inherent in the system; see also discussion of billing

statement generation, col. 7, lines 50-54; see also discussion of the initiation of the

billing process, col. 15, line 67 through col. 16, line 1; see also col. 15, lines 35-43; see

also disclosure that the invention is meant to replace conventional billing which

typically occurs on a monthly basis, and also that bill generation occurs at the end of a

billing cycle, col. 1, lines 16-35, disclosures that inherently include the generation of

the claimed reports on a particular date, such as on the 15th of each month);

b) converting said report into a display page (see discussion of the use of HTML in

generating bills, col. 12, lines 24-60);

c) spooling said display page within a repository for delivery at a later time (see discussion of

the embodiment wherein the customer receives a notification to check a billing

mailbox to retrieve electronic bills, col. 8, lines 17-22; see also discussion of sending

the generated bills to an intermediary for future delivery to the customer, col. 16, lines

14-43, and particularly lines 35-43);

d) making a log-on service request from said user terminal to said database management

system (see disclosure that in one implementation, the bill arrives as an email message

or notification to check a billing mailbox, a disclosure that inherently includes some

form of user authentication, constituting the claimed user log-on service request, col.

8, lines 17-22); and

e) transmitting said display page from said database management system to said user terminal

in response to receipt of said log-on service request (see disclosure that in one

implementation, the bill arrives as an email message or notification to check a billing

mailbox, a disclosure that inherently includes some form of user authentication,

constituting the claimed user log-on service request, col. 8, lines 17-22; see also

discussion of sending the generated bills to an intermediary for future delivery to the

customer, col. 16, lines 14-43, and particularly lines 35-43).

11.   Regarding claim 16, **Remington et al.** teaches an apparatus as claimed, comprising:

a) permitting means for permitting a user to interact with a digital database by making a log-

on service request and for displaying a report (see consumer 114 in Figure 4; see also

disclosure that in one implementation, the bill arrives as an email message or

notification to check a billing mailbox, a disclosure that inherently includes some form

of user authentication, constituting the claimed user log-on service request, col. 8,

lines 17-22);

b) providing means responsively coupled to said permitting means for providing said user

with access to a publicly accessible digital communications network (see network port

170 in Figure 6; see also network 116 in Figure 4);

c) generating means responsively coupled to said permitting means for generating a report at

a first predetermined date by executing a sequence of command script statements (see

col. 9, lines 7-58, and col. 10, lines 33-42, teaching the detailed information in the

formatted bills, a teaching which renders the existence of a database management

system inherent in the system; see also discussion of billing statement generation, col.

7, lines 50-54; see also discussion of the initiation of the billing process, col. 15, line 67

through col. 16, line 1; see also col. 15, lines 35-43; see also disclosure that the

invention is meant to replace conventional billing which typically occurs on a monthly

basis, and also that bill generation occurs at the end of a billing cycle, col. 1, lines 16-

35, disclosures that inherently include the generation of the claimed reports on a

particular date, such as on the 15th of each month);

d) spooling means responsively coupled to said generating means and said permitting means

for spooling said report for delivery at a future time to said permitting means (see

discussion of the embodiment wherein the customer receives a notification to check a

billing mailbox to retrieve electronic bills, col. 8, lines 17-22; see also discussion of

sending the generated bills to an intermediary for future delivery to the customer, col.

16, lines 14-43, and particularly lines 35-43); and

e) delivering means responsively coupled to said generating means for delivering said report

in response to receipt of said log-on service request (see disclosure that in one

implementation, the bill arrives as an email message or notification to check a billing

mailbox, a disclosure that inherently includes some form of user authentication,

constituting the claimed user log-on service request, col. 8, lines 17-22; see also

discussion of sending the generated bills to an intermediary for future delivery to the

customer, col. 16, lines 14-43, and particularly lines 35-43; see also disclosure that the

invention is meant to replace conventional billing which typically occurs on a monthly

basis, and also that bill generation occurs at the end of a billing cycle, col. 1, lines 16-

35, disclosures that inherently include the generation of the claimed reports on a

particular date, such as on the 15th of each month).

12.   Regarding claim 2, **Remington et al.** additionally teaches an improvement further

comprising a plurality of user terminals each generating a corresponding different one of a plurality

of log-on service requests which display said report and wherein said software controlled server

electronically delivers said report to each of said plurality of terminals upon receipt of said

corresponding different one of said plurality of log-on service requests (see disclosure that prior art

systems distributed bills to a plurality of customers, col. 1, line 64 through col. 2, line 44; see also

disclosure that the bill is transmitted to a plurality of users, col. 16, lines 14-42, and particularly lines

36-38; see also disclosure that in one implementation, the bill arrives as an email message or notification to check a billing mailbox, a disclosure that inherently includes some form of user authentication, constituting the claimed user log-on service request, col. 8, lines 17-22).

13.   Regarding claim 3, **Remington et al.** additionally teaches an improvement wherein said publicly accessible digital communications network is the World Wide Web (see col. 7, lines 19-27).

14.   Regarding claim 4, **Remington et al.** additionally teaches an improvement wherein said storage facility further comprises a repository wherein said repository includes space for storage of said report in final form (see disclosure that bills, analogous to the claimed report, are kept in a "billing mailbox", analogous to the claimed repository, col. 8, lines 17-22; see also disclosure that the billing information is stored at an intermediary, analogous to the claimed repository, col. 16, lines 14-42).

15.   Regarding claim 7, **Remington et al.** additionally teaches an apparatus further comprising a plurality of user terminals which display said report (see disclosure that prior art systems distributed bills to a plurality of customers, col. 1, line 64 through col. 2, line 44; see also disclosure that the bill is transmitted to a plurality of users, col. 16, lines 14-42, and particularly lines 36-38).

16.   Regarding claim 8, **Remington et al.** additionally teaches an apparatus further comprising a repository located within said server for storing said report in final form for later electronic delivery to said plurality of users (see disclosure that bills, analogous to the claimed report, are kept in a "billing mailbox", analogous to the claimed repository, col. 8, lines 17-22).

17.   Regarding claim 9, **Remington et al.** additionally teaches an apparatus wherein said publicly accessible digital communications network is the World Wide Web (see col. 7, lines 19-27).

18.   Regarding claim 10, **Remington et al.** additionally teaches an apparatus wherein said user terminal is an industry compatible personal computer having a web browser (see disclosure of an industry standard personal computer at col. 8, line 33 through col. 9, line 6; see disclosure of the use of a web browser at col. 12, lines 23-33).

19.   Regarding claim 12, **Remington et al.** additionally teaches a method wherein said user terminal comprises an industry compatible personal computer (see disclosure of an industry standard personal computer at col. 8, line 33 through col. 9, line 6).

20.   Regarding claim 13, **Remington et al.** additionally teaches a method further comprising a plurality of user terminals (see disclosure that prior art systems distributed bills to a plurality of customers, col. 1, line 64 through col. 2, line 44; see also disclosure that the bill is transmitted to a plurality of users, col. 16, lines 14-42, and particularly lines 36-38).

21.   Regarding claim 14, **Remington et al.** additionally teaches a method wherein said transmitting step further comprises transmitting over the World Wide Web (see col. 7, lines 19-27).

22.   Regarding claim 17, **Remington et al.** additionally teaches an apparatus wherein said

publicly accessible digital communication network further comprises the World Wide Web (see col.

7, lines 19-27).

23.   Regarding claim 18, **Remington et al.** additionally teaches an apparatus wherein said

generating means further comprises means for storing said report in final form (see disclosure that

bills, analogous to the claimed report, are kept in a "billing mailbox", analogous to the claimed

means for storing, col. 8, lines 17-22; see also disclosure that the billing information is stored at an

intermediary, analogous to the claimed means for storing, col. 16, lines 14-42).

Claim Rejections - 35 USC § 103

24.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness

rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section
> 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the
> subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary
> skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the
> invention was made.

25.   Claims 5, 15, 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Remington et al. (U.S. Patent 6,070,150) as applied to claims 1-4, 6-14 and 16-18 above, and

further in view of **Unisys** ("Unisys CSG MarketPlace – The Mapper System").

26.   Regarding claims 5, 15 and 19, **Remington et al.** teaches a data processing environment,

method and apparatus substantially as claimed.

Remington et al. does not explicitly teach a data processing environment, method and apparatus wherein said database management system is CLASSIC MAPPER.

Unisys, however, teaches the CLASSIC MAPPER database management system (see "What is It?").

It would have been obvious to one of ordinary skill at the time of the invention to incorporate the CLASSIC MAPPER database management system, since MAPPER provides information access, analysis and reporting in an open, enterprise-wide client/server environment (see "What is It?"), provides a powerful and intuitive environment for end users at all levels within the enterprise and with various degrees of computer skills ("see The Mapper Environment: Powerful and Intuitive"), provides access to a variety of leading RDBMS's (see An Enterprise-wide View: Systems and Databases"), and because the MAPPER system includes many advantageous key features (see Key features include:" under MAPPER Overview)

27.   Regarding claim 20, Remington et al. additionally teaches an apparatus wherein said permitting means is an industry compatible personal computer (see disclosure of an industry standard personal computer at col. 8, line 33 through col. 9, line 6).

Response to Arguments

28.   Applicant's arguments with respect to claims 1-20 have been considered but are moot in view of the new ground(s) of rejection.

In particular, the Applicant has argued that the newly added limitations that the reports are delivered at a particular date and to any particular user in response to a terminal log-on distinguish over the prior art of record. The examiner, however, has addressed these new limitations in the new claim rejections.

Regarding claims 5, 15, 19 and 20, the examiner has incorporated new prior art into the rejection.

Conclusion

29.   The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Beaulieu et al. (U.S. Patent 5,502,637) teaches an investment research delivery system comprising a host for receiving investment research in a page description format, a transmitter at the host location for transmitting the page description format investment research, a database at a location remote from the host for storing investment research received from the host, permitting current research to be immediately rendered by investors in the author's original form.

Karaev et al. (U.S. Patent 5,802,518) teaches a secure electronic distribution of research documents over the World Wide Web to investors who are authorized to receive said research documents.

Britton (U.S. Patent 6,591,289) teaches a method of delivering a formatted document over a communications network, providing a client computer connected to the network and providing a server computer connected to the network such that the client computer is in data communication with the server computer.

Any inquiry concerning this communication or earlier communications from the examiner

should be directed to Luke S. Wassum whose telephone number is 703-305-5706. The examiner can

normally be reached on Monday-Friday 8:30-5:30, alternate Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor,

John E. Breene can be reached on 703-305-9790. The fax phone number for the organization

where this application or proceeding is assigned is 703-872-9306.

In addition, INFORMAL or DRAFT communications may be faxed directly to the examiner

at 703-746-5658.

Customer Service for Tech Center 2100 can be reached during regular business hours at

(703) 306-5631, or fax (703) 746-7240.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR system,

see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system,

contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Luke S. Wassum
Art Unit 2177

lsw
24 June 2004